

Form PTO-1449 (Modified)

Atty Docket No.:
003801.P007

Serial No.:
09/491,703

List of Patents and Publications Statement
(Use several sheets if necessary)

Applicants:
Alex D. Poon

Filing Date: January 26, 2000

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

Exam. Initial	Date	Document Number	Name	Class	Sub-Class	Filing Date
<i>JP</i>	11/10/98	5,835,896	Fisher et al.	705	37	3/29/96
<i>JP</i>	5/25/71	3,581,072	Frederick Nymeyer	235	152	3/28/68
<i>JP</i>	6/30/87	4,677,552	Sibley, Jr.	364	408	10/5/84
<i>JP</i>	1/17/89	4,799,156	Shavit et al.	364	401	10/1/86
<i>JP</i>	2/20/90	4,903,201	Wagner	364	408	11/3/83
<i>JP</i>	11/5/91	5,063,507	Lindsey et al.	364	408	9/14/90
<i>JP</i>	3/31/92	5,101,353	Lupien et al.	364	408	5/31/89
<i>JP</i>	8/4/92	5,136,501	Silverman et al.	364	408	5/26/89
<i>JP</i>	12/1/92	5,168,446	Wiseman	364	408	5/23/89
<i>JP</i>	9/7/93	5,243,515	Lee	364	401	10/30/90
<i>JP</i>	11/2/93	5,258,908	Hartheimer et al.	364	408	11/2/90

FOREIGN PATENT DOCUMENTS

No.	Document No.	Date	Country	Name	Class	Sub-Class	Translation
<i>JP</i>	2,253,543	10/9/97	Canada				Y
<i>JP</i>	9300266	9/1/94	Netherlands				
<i>JP</i>	WO 92/15174	9/3/92	PCT				

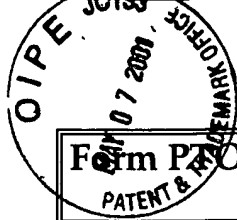
OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

<i>JP</i>	Thomas W. Malone, Joanne Yates, Robert I. Benjamin, "Electronic Markets and Electronic Hierarchies", Communications of the ACM, June 1987, Vol. 30, Number 6, p. 484-497.
<i>JP</i>	AUCNET: TV Auction network System, Harvard Business School, 9-190-001, Rev. April 12, 1996, p. 1-15.
<i>JP</i>	Ho Geun Lee, "Electronic Brokerage and Electronic Auction: The Impact of IT on Market Structures", Proceedings of the 29th Annual Hawaii International Conference on System Sciences - 1996, p. 397-406.

Examiner

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U.S. PATENT DOCUMENTS

Exam. Initial	Date	Document Number	Name	Class	Sub-Class	Filing Date
	4/19/94	5,305,200	Hartheimer et al.	364	408	11/2/90
	6/28/94	5,325,297	Bird et al.	364	419.07	6/25/92
	7/12/94	5,329,589	Fraser et al.	379	91	6/3/93
	12/20/94	5,375,055	Togher et al.	364	408	2/3/92
	2/28/95	5,394,324	Clearwater	364	402	12/8/93
	6/20/95	5,426,281	Abecassis	235	379	10/29/93
	1/18/94	5,280,422	Moe et al.	364	140	11/5/90
	2/10/98	5,717,989	Tozzoli et al.	705	37	10/13/94
	12/20/94	5,375,055	Togher et al.	364	408	2/3/92
	3/22/94	5,297,032	Trojan et al.	364	408	2/1/91
	4/27/93	5,205,200	Wright	91	1	1/9/92
	4/6/71	3,573,747	Adams et al.	340	172.5	2/24/69

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No.	Document No.	Date	Country	Name	Class	Sub-Class	Translation
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	WO 97/37315	10/9/97	PCT				
	WO 96/34356	10/31/96	PCT				

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	Eric K. Clemons, Bruce W. Weber, "Evaluating the Prospects for Alternative Electronic Securities Markets", International Conference on Information Systems, 1991, p. 53-61.
	Mardesich, Jodi, "Onsale Takes Auction Gavel Electronic", Computer Reseller News, July 8, 1996, 2 pages.
	"Personal Optimized Decision/Transaction Program", IBM Technical Disclosure Bulletin, Vol. 38, No. 1, January 1995, p. 83-84.

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










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
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	3/31/92	5,101,353	Lupien et al.	364	408	5/31/89
	5/25/71	3,581,072	Nymeyer	235	152	3/28/68
	3/22/94	5,297,031	Guterman et al.	364	408	3/6/90
	6/16/87	4,674,044	Kalmus et al.	364	408	1/30/85
	1/20/98	5,710,889	Clark et al.	395	244	6/7/95
	8/4/92	5,136,501	Silverman et al.	364	408	5/26/89
	6/17/97	5,640,569	Miller et al.	395	729	4/28/95
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	Todd E. Rockoff, Michael Groves, "Design of an Internet-based System for Remote Dutch Auctions", Internet Research, ISSN 1066-2243, Vol. 5, Number 4, 1995, p. 10-16.
	Marcel N. Massimb, Bruce D. Phelps, "Electronic Trading, Market Structure and Liquidity", Financial Analysts Journal, January/February 1994, p. 39-50.

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REFERENCE DESIGNATION				U.S. PATENT DOCUMENTS			
Exam. Initial	Date	Document Number	Name	Class	Sub-Class	Filing Date	
JD	2/28/95	5,394,324	Clearwater	364	402	12/8/93	
JD	9/3/96	5,553,145	Micali	380	30	8/4/95	
JD	9/2/97	5,664,115	Fraser	705	37	6/7/95	
JD	10/20/98	5,826,244	Huberman	705	37	8/23/95	
JD	11/18/97	5,689,652	Lupien et al.	395	237	4/27/95	
JD	12/15/98	5,850,442	Muftic	380	21	3/26/96	
JD	3/10/98	5,727,165	Ordish et al.	395	237	12/27/94	
JD	12/1/98	5,845,266	Lupien et al.	705	37	12/12/95	
JD	8/11/98	5,794,219	Brown	705	37	2/20/96	
JD	10/25/83	4,412,287	Braddock, III	364	408	9/15/82	
JD	1/17/89	4,799,156	Shavit et al.	364	401	10/1/86	

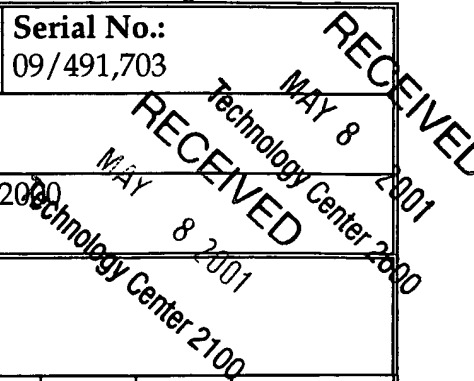
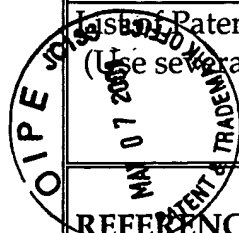
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JD	"Anonymous Delivery of Goods in Electronic Commerce", IBM Technical Disclosure Bulletin, Vol. 39, No. 03, March 1996, p. 363-366.
JD	D. L. Post, S. S. Coppinger, G. B. Sheble, "Application of Auctions as a Pricing Mechanism for the Interchange of Electric Power", IEEE Transactions on Power Systems, Vol. 10, No. 3, August 1995, p. 1580-1584.
JD	Christopher M. Hess, Chris F. Kemerer, "Computerized Loan Origination Systems: An Industry Case Study of the Electronic Markets Hypothesis", MIS Quarterly, September 1994, p. 251-275.

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CA		2/20/90	4,903,201	Wagner	364	408	11/3/83
CA		9/7/93	5,243,515	Lee	364	401	10/30/90
CA		2/3/98	5,715,402	Popolo	395	237	11/9/95
CA		6/16/87	4,674,044	Kalmus et al.	364	408	1/30/85
CA		6/30/87	4,677,552	Sibley, Jr.	364	408	10/5/84
CA		12/1/92	5,168,446	Wiseman	364	408	5/23/89
CA		4/18/89	4,823,265	Nelson	364	408	5/11/87
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CA		Martin Reck, "Formally Specifying an Automated Trade Execution System", J. Systems Software, 1993, 21, p. 245-252.					
CA		Vladimir Zwass, "Electronic Commerce: Structures and Issues", International Journal of Electronic Commerce, Vol. 1, No. 1, Fall, 1996, p. 3-23.					
CA		Ian Graham, "The Emergence of Linked Fish Markets in Europe, Focus Theme, 4 pages.					
CA		Ingvar Tjostheim, Jan-Olav Eide, "A Case Study of an On-line Auction for the World Wide Web", 10 pages.					
CA		Siegmann, Ken, "Nowhere to Go But Up", PC Week, Vol. 12, No. 42, 3 pages.					
CA		"Onsale Joins Fray as Online Shopping Picks Up Speed: INTERNET BOOMS", Computer Reseller News, June 5, 1995, ISSN 0893-8377, p. 73.					
Examiner 				Date Considered 8/11/01			
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	"ONSALE: ONSALE Brings Thrill of Auctions and Bargain Hunting Online; Unique Internet Retail Service Debuts with Week-long Charity Auction for the Computer Museum in Boston", May 24, 1995, 3 pages.
	Dr. Beat F. Schmid, "Research Issues, "Electronic Markets, Newsletter of the Competence Centre Electronic Markets, No. 9/10, October 93.
	Stefan Klein, "Introduction to Electronic Auctions", University of Munster, Focus Theme, 4 pages.
	Efraim Turban, "Auctions and Bidding on the Internet: An Assessment", California State University, Focus Theme, 5 pages.
	Eric Van Heck, Pieter M. Ribbers, "Experiences with Electronic Auctions in the Dutch Flower Industry", Focus Theme, 6 pages.
	Martin Reck, "Trading-Process Characteristics of Electronic Auctions", Focus Theme, 7 pages.
	Ho Geun Lee, "AUCNET: Electronic Intermediary for Used-Car Transactions", Focus Theme, 5 pages.

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